

APPLICATION FOR RECORDS RETENTION SCHEDULE

GEORGIA DEPARTMENT OF HUMAN RESOURCES
OFFICE OF ADMINISTRATIVE SERVICES
RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

DHR		1. GEORGIA DEPARTMENT OF HUMAN RESOURCES		ARCHIVES AND HISTORY	
Application Date December 4, 1981		Division of Mental Health & Mental Retardation Evaluation, Statistics and Planning Unit 47 Trinity Avenue, S.W. Atlanta, Georgia 30334		Application Number 81-445	
Application Number DHR 81-15				Date Received DEC 11 1981	
2. Person to Contact Thomas R. McConnell, Ph.D. - Chief, Evaluation, Statistics and Planning Unit		Working Title		Date Completed DEC 21 1981	
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void		Telephone Number 656-4918			
4. Dates of Series Earliest 6/79		Latest continuing		5. Records Series Title (followed by title used in office, if different) Mental Health/Mental Retardation Facility Plan Files	
6. Division and Office Function		What is the function of the Division and the Office in which this record series is created? Under the direction of the Department of Human Resources, the Division of Mental Health and Mental Retardation initiates, administers and supervises the State program for mental health, alcohol and drug abuse, and mental retardation services. The Division directs 10 State mental health and Mental Retardation institutions and administers community based programs in 34 area mental health centers. The Division sets standards and regulations for programs receiving State funds, provides training and technical assistance to programs, develops and administers prevention and early intervention projects, and evaluates the effectiveness and efficiency of programs. The Evaluation, Statistics and Planning Unit initiates, coordinates and evaluates mental health, alcohol and drug abuse, and mental retardation plans, develops State plans, and produces computerized output information upon request.			
7. Records Series Description		This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: <u>Collecting</u> Four-year plans submitted annually by 34 community centers, 10 institutions, 8 consortia, and the drug abuse plan for Metro Atlanta, and evaluations by the ESP Unit of those plans. Included are: Name, facility or consortium number, geographic area served and years covered by the plan; an INTRODUCTION describing planning, value assumptions, mission statement, long & short range goals, and a statement of major social & economic facts which affect the plan. A NEEDS ASSESSMENT table containing estimated unmet need data for each primary disability-age-group-service modality class & a brief description of high unmet needs; a description of physical facilities; analysis of staff; description of existing programs & services; discussion of 4 special issues: preadmission screening, continuity of care, alternatives to hospitalization, & % of minority group patients covered; discussion of advisory council activities and facility support; financial analysis of service costs and sources of revenue; planning objectives (which are linked to continuation & improved budget requests and distribution of state funds). A 26 item Planning Objective Form is completed for each objective and applies to only one budget function. Objectives are prioritized within each of the 4 years. Consortium plan objectives are drawn directly from facility plans & put in priority order according to the Consortium. Plan includes statements by advisory council, lead County Board of Health and Health System Agencies that the plan has been reviewed. The file is arranged: by fiscal year; thereafter, numerically by facility or consortium number.			
8. Retention Schedule		How often are records referred to which are: One to six months old <u>2.5</u> ; Seven to twelve months old <u>2.0</u> ; Thirteen to twenty-four months old <u>1.5</u> ; Twenty-five months and older <u>.10</u> ?			
9. Storage		Shelf-size drawers _____ ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) <u>2 to 4 cubic feet</u>			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
X		j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | 5 _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☒ Other _____, then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

ESP UNIT (record copy)

When review is completed, place all papers for a particular Plan in the inactive file by fiscal year Plan ends; cut off the inactive file at end of each fiscal year; transfer to State Archives for permanent retention.

Computer Printouts

These instructions apply to all prior and future accumulations of the series. Hold in current files area to end of fiscal year Plans end; then destroy.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Thomas R. McEwen</i>	12/3/81	<i>Elizabeth Crank</i>	12/4/81
		Elizabeth W. Crank, CRM - RMO State Records Committee (Signature)	Date
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)	State Auditor/Designee	<i>Carroll Hart</i>	12-15-81
	Secretary of State/Designee	<i>Carroll Hart</i>	12-14-81
	Attorney General/Designee	<i>Carroll Hart</i>	12-14-81